



GP 2183 -  
#2  
BT  
10-7-02

DOCKET NO. MS150900.12

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **Eric J. Horvitz**  
Serial No.: **09/881,502**  
Filed: **June 14, 2001**  
For: **NOTIFICATION PLATFORM ARCHITECTURE**  
Art Unit: **2183**  
Examiner: **Unknown**

**RECEIVED**

**SEP 18 2002**

**Technology Center 2100**

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: \_\_\_\_\_  
Filing Date: \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) \_\_\_\_ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) \_\_\_\_ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.
- (c) \_\_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_\_ The required certification is given below, or

(2) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.

(d) \_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

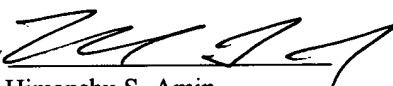
4. Certification (if applicable)

(a) \_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,  
AMIN & TUROCY, LLP

By

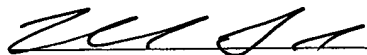
  
Himanshu S. Amin  
Reg. No. 40,894

AMIN & TUROCY, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 E. 9<sup>th</sup> Street  
Cleveland, Ohio 44114  
SAHAM\MSFT\p223usb\IDS.COVER.doc

CERTIFICATE OF MAILING UNDER 37 C.F.R. '1.8

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: 9-12-02

  
Himanshu S. Amin

SAHAM\MSFT\p223usb\IDS.wpd.doc



Form PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS  
FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT  
(Use several sheets if necessary)

Atty Docket No.:

MS150900.12

Serial No.:

09/881,502

Applicant: Eric J. Horvitz

Filing Date: 06/14/2001

Group: 2183

RECEIVED  
SEP 18 2002  
Technology Center 2100

## REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

Examiner Initial		Document Number							Date	Name	Class	Subclass	Filing Date if Appropriate
	AA	5	4	9	3	6	9	2	2-20-96	Theimer, et al.	455	26.1	12-3-93
	AB	5	5	0	8	8	1	7	4-16-96	Kunigami	358	402	3-19-93
	AC	5	7	5	7	9	1	6	5-26-98	MacDoran, et al.	380	25	10-6-95
	AD	5	7	6	7	8	5	2	6-16-98	Keller, et al.	345	348	6-16-98
	AE	5	8	1	2	8	6	5	9-22-98	Theimer, et al.	395	800	3-4-96
	AF	5	8	3	1	5	4	5	11-3-98	Murray, et al.	340	825.49	8-25-95
	AG	5	9	2	8	3	3	0	7-27-99	Goetz, et al.	709	231	9-6-96
	AH												

## FOREIGN PATENT DOCUMENTS

Examiner Initial		Document Number							Date	Country	Class	Subclass	Translation	
													Yes	No
	AI	0	4	2	0	7	7	9	8-29-90	Europe			X	
	AJ	8	3	1	4	8	2	7	11-29-96	Europe			X	
	AK	0	8	6	7	8	2	3	9-30-98	Europe			X	
	AL	0	9	0	5	6	3	3	3-31-99	Europe			X	
	AM	1	0	7	9	7	5	6	3-24-98	Japan			X	
	AN	9	6	3	5	9	9	4	11-14-96	WO			X	
	AO	9	8	3	7	6	8	0	8-27-98	WO			X	
	AP	9	8	4	7	2	6	8	10-22-98	WO			X	
	AQ	9	8	5	8	3	2	1	12-23-98	WO			X	
	AR	9	9	0	6	9	1	5	2-11-99	WO			X	
	AS													

## OTHER ART(Including Author, Title, Date, Pertinent Pages, etc.)

AT	International Search Report dated August 20, 2002 for International Application Serial No. PCT/US01/08711
AU	Integrating Case-Based Reasoning and Decision Theory, 1997 IEEE
AV	A Decision-Theoretic Approach to Reliable Message Deliver,

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Form PTO-1449 (Modified)  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	Atty Docket No.: MS150900.12	Serial No.: 09/881,502
	Applicant: Eric J. Horvitz	
	Filing Date: 06/14/2001	Group: 2183

## REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
	AA						
	AB						
	AC						
	AD						

RECEIVED  
SEP 18 2002  
Technology Center 2100

## FOREIGN PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	AE							
	AF							
	AG							
	AH							
	AI							

## OTHER ART(Including Author, Title, Date, Pertinent Pages, etc.)

	AJ	International Search Report dated August 20, 2002 for International Application Serial No. PCT/US01/08711
	AK	Integrating Case-Based Reasoning and Decision Theory, 1997 IEEE
	AL	A Decision-Theoretic Approach to Reliable Message Deliver
	AM	Bayesian Analysis for Fault Location in Homogeneous Distributed Systems, 1993 IEEE
	AN	Identifying and Localizing Electrical Components: A Case Study of Adaptive Goal-directed Sensing, 1991 IEEE
	AO	Speaking and Listening on the Run: Design for Wearable Audio Computing, 1998 IEEE
	AP	The Message is the medium, Computer Networks and ISDN Systems, September 29, 1997 1519-1530
	AQ	CAFÉ: A Conceptual Model for Managing Information in Electronic Mail, Juha Takkinen and Nahid Shahmehri, Laboratory for Intelligent Information Systems (IISLAB), Department of Computer Information Science, Linköping University, Sweden, Pages 44-53
	AR	Issues when designing filters in messaging systems, Computer Communications, January 11, 1995
	AS	Visualizing semantic spaces and author co-citation networks in digital libraries, 1999 Elsevier Science, Ltd.

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.